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INFORMATION DISCLOSURE STATEMENT CENTER 1600/2900

ATTY. DOCKET NUMBER SEM-0002 SERIAL NUMBER 10/020,695 FILED 12-12-2001
FIRST INVENTOR: Dong-Soo Kim TITLE EXPRESSION VECTOR CONTAINING
LECTIN GENE REGULATION SITE OF MUD LOACH
EXAMINER Joseph T. Weitach ART UNIT 1632

1. ☒ Applicant submits herewith a copy of (a) attached form PTO-1449, which lists all patents, publications, applications, or other information submitted for consideration by the Office; (b) a legible copy of each document required by 37 C.F.R. §1.98(b)(2).
2. ☐ Applicant herein apprises the Patent Office of references cited in a parent U.S. application from which this application obtains the benefit of an earlier filing date under 35 U.S.C. §120. The Serial Number of the parent application is U.S. Application _____ and entitled _____.
The publications cited therein are listed on attached Form PTO-1449. In accordance with 37 C.F.R. §1.98(d) copies of the listed publications are not required. ☐ Additional parent patent applications are listed on an attached sheet.
3. ☐ In accordance with 37 C.F.R. §1.98(a)(3), Applicant hereby certifies that for each reference not in English (check at least one box below):
☐ A copy of a translation of one or more non-English document, or portion thereof, is provided herewith;
☐ A concise explanation is (check at least one box below):
☐ provided in the accompanying foreign or international search report; ☐ incorporated into the specification; and/or ☐ provided herewith.

37 C.F.R. §1.97(b)(1), (b)(2) – WITHIN 3 MONTHS OF FILING OR ENTRY IN NATIONAL STAGE

4. ☐ Since this Information Disclosure Statement is being filed within three months of the filing date of the subject application or within three months of the date of entry of the national stage as set forth in 37 C.F.R. §1.491 in an international application, no fee or certification under 37 C.F.R. §1.97(e) is required.

37 C.F.R. §1.97(b)(3), (b)(4) – PRIOR TO MAILING OF FIRST OFFICE ACTION OR FIRST ACTION AFTER REQUEST FOR CONTINUED EXAMINATION

5. ☒ Since this Information Disclosure Statement is being filed before the mailing date of the first Office Action on the merits, or before the mailing of a first Office action after the filing of a request for continued examination under 37 C.F.R. §1.114, no fee or certification under 37 C.F.R. §1.97(e) is required.

37 C.F.R. §1.97(c) – AFTER FIRST ACTION, BEFORE FINAL ACTION OR ALLOWANCE

6. ☐ Since this Information Disclosure Statement is being filed outside of the period provided for in 37 C.F.R. §1.97(b), but before the mailing date of a Final Rejection or Notice of Allowance, this submission is being accompanied by (one of the following boxes must be checked):
a. ☐ the fee required under 37 C.F.R. §1.97(c)(2) and specified in 37 C.F.R. §1.17(p).
b. ☐ the statement specified in 37 C.F.R. §1.97(e) (Box 8 or 9 must be checked).

37 C.F.R. §1.97(d) – AFTER FINAL REJECTION OR ALLOWANCE

7. ☐ Since this Information Disclosure Statement is being filed after the period specified in 37 C.F.R. §1.97(c), but on or before payment of the issue fee and is accompanied by both the statement specified in 37 C.F.R. §1.97(e) and the fee set forth in 37 C.F.R. §1.17(p). (Box 8 or 9 must be checked.)
8. ☐ In accordance with 37 C.F.R. §1.97(e)(1), Applicant's attorney certifies that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. ☐ The foreign or international search report(s) is/are enclosed.
9. ☐ In accordance with 37 C.F.R. §1.97(e)(2), Applicant's attorney certifies that no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this certification after making reasonable inquiry, no item of information contained in this Information Disclosure Statement was known to any individual designated in 37 C.F.R. §1.56(c) more than three months prior to the filing of the information disclosure statement.
10. ☒ In the event the Commissioner of Patents deems that any additional fee is required under 37 C.F.R. §§ 1.16 or 1.17 in connection with this application, Applicant's attorneys authorize that such fee be charged to Deposit Account No. 06-1130.
11. Consideration of this Information Disclosure Statement is respectfully requested.

Name:	<u>Soonja Bae</u>	Registration Number	<u>SEE ATTACHED</u>
Signature		Date	<u>August 6, 2003</u>

CERTIFICATE OF MAILING OR TRANSMISSION: I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner For Patents, P.O. Box 1450, Alexandria, VA 22313-1450, or [] facsimile transmitted to the U.S. Patent and Trademark Office to Facsimile No. _____ on the date shown below.

Name	<u>Tammie Lanthier</u>	Date	<u>August 6, 2003</u>
Signature			





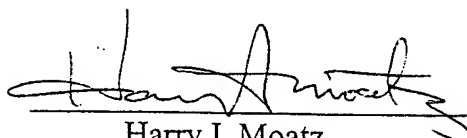
**BEFORE THE OFFICE OF ENROLLMENT AND DISCIPLINE
UNITED STATE PATENT AND TRADEMARK OFFICE**

LIMITED RECOGNITION UNDER 37 CFR § 10.9(b)

Soonja Bae is hereby given limited recognition under 37 CFR § 10.9(b) as an employee of Cantor Colburn LLP to prepare and prosecute patent applications wherein the patent applicant is the client of Cantor Colburn LLP, and the attorney or agent of record in the applications is a registered practitioner who is a member of Cantor Colburn LLP. This limited recognition shall expire on the date appearing below, or when whichever of the following events first occurs prior to the date appearing below: (i) Soonja Bae ceases to lawfully reside in the United States, (ii) Soonja Bae's employment with Cantor Colburn LLP ceases or is terminated, or (iii) Soonja Bae ceases to remain or reside in the United States on an H-1 visa.

This document constitutes proof of such recognition. The original of this document is on file in the Office of Enrollment and Discipline of the U.S. Patent and Trademark Office.

Expires: August 15, 2003

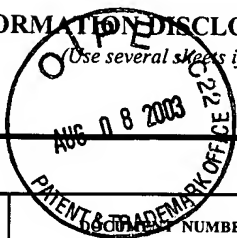


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Director of Enrollment and Discipline

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INFORMATION DISCLOSURE CITATION

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Docket Number (Optional)
SEM-0002

Application Number
10/020,695

Applicant(s)
Dong-Soo Kim, et al.

Filing Date
12-12-2001

Group Art Unit
1632

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

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FOREIGN PATENT DOCUMENTS

	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
							YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

		"Regulation and expression of transgenes in fish - a review"; Authors: Arati Iyengar, Ferenc Muller and Norman Maclean; Transgenic Research 5, 1996; Pgs. 147-166
		"Comparison of Traditional Breeding and Transgenesis in Farmed Fish with Implications for Growth Enhancement and Fitness"; Authors: R.A. Dunham and R.H. Devlin; Transgenic Animals in Agriculture; eds J.D. Murray, G.B. Anderson, A.M. Oberbauer and M.M. McGloughlin; CAB INTERNATIONAL; 1999; Pgs. 209-229

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

INFORMATION DISCLOSURE CITATION

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INITIAL

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

"Extraordinary salmon growth"; Authors: Robert H. Devlin, Timothy Y. Yesaki, Carlo A. Biagi, Edward M. Donaldson, Penny Swanson and Woon-Khiong Chan; Scientific Correspondence; Nature, Vol. 371; September 15, 1994; Pgs. 209-210

"Production of germline transgenic Pacific salmonids with dramatically increased growth performance"; Authors: Robert H. Devlin, Timothy Y. Yesaki, Edward M. Donaldson, Shao Jun Du, and Choy-Leong Hew; Can. J. Fish. Aquat. Sci. 52; 1995; Pgs. 1376-1384

"Transgenic salmon: tailoring the genome for food production"; Authors: C.L. Hew, G.L. Fletcher, and P.L. Davies; Genetics and Breeding; Journal of Fish Biology 47 (Supplement A); The Fisheries Society of the British Isles; 1995; Pgs. 1-19

"Expression of a novel piscine growth hormone gene results in growth enhancement in transgenic tilapia (Oreochromis niloticus)"; Authors: M. Asisur Pahman, Rohan Mak, Hala Ayad, Alan Smith and Norman Maclean; Transgenic Research 7; Chapman & Hall; 1998; Pgs. 357-369

"Growth enhancement in transgenic tilapia by ectopic expression of tilapia growth hormone"; Authors: Rebeca Martinez, et al.; Molecular Marine Biology and Biotechnology 5 (1); Blackwell Science, Inc.; 1996; Pgs. 62-70

"Growth performance studies in transgenic Cyprinus carpio"; Authors: Yaniv Hinitz and Boaz Moav; Aquaculture 173; Elsevier Science B.V.; 1999; Pgs. 285-296

"Dramatically accelerated growth and extraordinary gigantism of transgenic mud loach Misgurnus mizolepis"; Authors: Yoon Kwon Nam, Jae Koo Noh, Young Sun Cho, Hyo Jong Cho, Kyu-Nam Cho, Chul Geun Kim and Dong Soo Kim; Transgenic Research 10; Kluwer Academic Publishers; 2001; Pgs. 353-362

"Growth and feed utilization by F4 human growth hormone transgenic carp fed diets with different protein levels"; Authors: C. Fu, Y. Cui, S. S. O. Hung and Z. Zhu; Journal of Fish Biology 53, Article No. jb980686; The Fisheries Society of the British Isles; 1998; Pgs. 115-129

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